

PATENT

Attorney Docket No. MIT-092DV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Caplan *et al.*

SERIAL NO.: Not Yet Assigned GROUP NO.: Not Yet Assigned

FILING DATE: Herewith EXAMINER: Not Yet Assigned

TITLE: Variable-Rate Communication System with Optimal Filtering

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Each of the patents and printed publications was submitted in the co-pending predecessor application U.S. Serial No. 09/261,628, filed on March 3, 1999. Accordingly, copies of the same are not enclosed in accordance with 37 C.F.R. §1.98 (d).

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

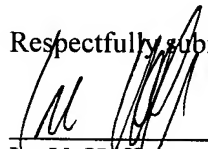
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



Ira V. Heffan
Attorney for the Applicants
Testa, Hurwitz, & Thibeault, LLP
High Street Tower
125 High Street
Boston, Massachusetts 02110

Date: January 29, 2004
Reg. No. 41,059

Tel. No.: (617) 248-7176
Fax No.: (617) 790-0131

FORM PTO - 1449				ATTORNEY DOCKET NO.: MIT-092DV					
INFORMATION DISCLOSURE STATEMENT				APPLICANT(S): Caplan <i>et al.</i>					
				SERIAL NO.: Not Yet Assigned					
				FILING DATE: Herewith					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	AA	4,713,841	12/15/87	Porter et al.	455	608			
	AB	4,866,738	09/12/89	Wiesmann et al.	375	23			
	AC	4,598,198	07/1986	Fayfield, Robert W.	250	205			
	AD	5,854,593	12/1998	Dykema et al.	340	5.25			
	AE	5,048,058	09/1991	Kaleh, Ghassan K.	329	300			
	AF	5,666,225	09/1997	Colbourne, Paul	359	578			
	AG	5,541,955	07/1996	Jacobsmeier, Jay M.	375	222			
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	CA	R.A. Cilley, "Performance of Optical Receivers in Detection of Variable Duty Cycle Manchester Coded Data" Air Force Institute of Technology, Master of Science Thesis, December 1979							
	CB	S.S. Hwang et al., "Asynchronous Multirate Optical Wireless PPM-CDMA in an Indoor Non-Directed Diffuse Channel" <u>Electronics Letters</u> 33(18):1565-1567 (1997)							
	CC	Y. Yamada et al., "10 Gbit/s Differential Receiver for Large Optical Power Fluctuation" <u>Electronics Letters</u> 33(19):1642-1644 (1997)							
	CD	Agrawal, Govind P., <u>Fiber-Optic Communication Systems</u> title-copyright, 86-93, and 132-133 (John Wiley & Sons, Inc. 1997).							
	CE	Caplan, D.O. et al., "High-Sensitivity Variable-Rate Transmit/Receive Architecture," IEEE 297-302 (1999).							
	CF	Chinn, Stephen R. et al., "Sensitivity of Optically Preamplified DPSK Receivers with Fabry-Perot Filters," 14 <u>Journal of Lightwave Technology</u> No. 3, pgs. 370-376 (March 1996).							
	CG	Hecht, Eugene, <u>Optics</u> title-copyright and 576-593 (Addison-Wesley Publishing Co. 1987).							

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INFORMATION DISCLOSURE STATEMENT		APPLICANT(S): Caplan <i>et al.</i>
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	CH	Humblet, Pierre A., "Design of Optical Matched Filters," IEEE GLOBECOM 1246-1250 (1991).
	CI	Humblet, Pierre A. et al., "On the Bit Error Rate of Lightwave Systems with Optical Amplifiers," 9 <u>Journal of Lightwave Technology</u> No. 11, pgs. 1576-1582 (November 1991).
	CJ	Livas, J. C., "High Sensitivity Optically Preamplified 10 Gb/s Receivers," <u>Proceedings of the Optical Fiber Communication 1996 Conference</u> (Optical Society of America).
OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	CK	Stein, Seymour et al., <u>Modern Communication Principles with Application to Digital Signaling</u> title-copyright and 256-263 (McGraw Hill Book Co. 1967).
	CL	Van Trees, Harry L., <u>Detection, Estimation, and Modulation Theory, Part I: Detection, Estimation, and Linear Modulation Theory</u> title-copyright, 226-227, and 248-249 (John Wiley & Sons, Inc. 1968).
EXAMINER		DATE CONSIDERED